

### **Amendments to the Specification**

Please replace the paragraph at page 26, lines 13-17 of the specification as originally filed with the following amended paragraph:

As with a query provided to system 101 by a trader, a query provided by an SA may include all or ~~part~~a part of the name of a particular entity in which case Response 1201 will include those entities that match the provided search phrase. Also, it will be obvious to provide the SA with a mechanism for searching on other fields contained in restricted file list 105 and Grey list file 107.

Please replace the paragraph at page 30, line 21 through page 31, line 6 of the specification as originally filed with the following amended paragraph:

In system 1601, export interface 123 also exports Restricted List and Grey List information to the financial institution's trading system ~~4544~~1611. In this embodiment, trading system ~~4544~~1611 monitors the entities that are contained in the Restricted List and either flag or prevent trading in securities issued by such entities that violate any restrictions contained in the list. In addition, system 1601 monitors trading patterns in securities included in the Grey List to determine whether any such patterns is in violation of the financial institution's compliance program. In either case, trading system ~~4544~~1611 may alert a compliance officer of any such trades or trading patterns for further investigation.

Please replace the paragraph at page 31, lines 14-16 of the specification as originally filed with the following amended paragraph:

In system 1701, input interface 1509 also receives information from trading systems ~~4544~~1611 upon which further refinement can be made to the information contained in either the Restricted List or Grey List.